

## PATENT COOPERATION TREATY

## PCT

Translation

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

|   |  |  |  |
|---|--|--|--|
| Applicant's or agent's file reference<br>XQ031015CP   |  | FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416) |  |
| International application No.<br>PCT/CN03/00195   | International filing date (day/month/year)<br>17. Mar. 2003(17.03. 03) | Priority date (day/month/year)<br>12. Apr. 2002(12.04. 02)   |  |
| International Patent Classification (IPC) or national classification and IPC<br>C01B31/02   |  |  |  |
| Applicant<br>SHANG HAI JIAO TONG UNIVERSITY et al   |  |  |  |
| <p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 3 sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and /or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority ( see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of _____ sheets.</p>  |  |  |  |
| <p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> priority</p> <p>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty ,inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2)with regard to novelty ,inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international opplication.</p> |  |  |  |

|  |   |
|--|---|
| Date of submission of the demand<br>21. Oct. 2003(21.10. 03)   | Date of completion of this report<br>20. July. 2004(20.07. 04)        |
| Name and mailing address of the IPEA/CN<br>6 Xitucheng Rd., Jimen Bridge, Haidian District,<br>100088 Beijing, China<br>Facsimile No. 86-10-62019451 | Authorized officer<br>Zhang, Xiaofeng<br>Telephone No. 86-10-62084689 |

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/CN03/00195

## I. Basis of the report

### 1. With regard to the elements of the international application:

☒ the international application as originally filed

☐ the description:

pages \_\_\_\_\_, as originally filed

pages \_\_\_\_\_, filed with the demand

pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

☐ the claims:

Nos \_\_\_\_\_, as originally file

Nos \_\_\_\_\_, as amended (together with any statement) under Article 19

Nos \_\_\_\_\_, filed with the demand

Nos \_\_\_\_\_, filed with the letter of 24. December 2002

☐ the drawings:

sheets/fig \_\_\_\_\_, as originally filed

sheets/fig \_\_\_\_\_, filed with the demand

sheets/fig \_\_\_\_\_, filed with the letter of \_\_\_\_\_

☐ the sequence listing part of the description:

pages \_\_\_\_\_, as originally filed

pages \_\_\_\_\_, filed with the demand

pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

### 2. with regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).

☐ the language of publication of the international application (under Rule 48.3(b)).

☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

### 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

### 4. ☐ The amendments have resulted in the cancellation of:

☐ the description, pages \_\_\_\_\_

☐ the claims No. \_\_\_\_\_

☐ the drawings, sheets/fig \_\_\_\_\_

### 5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/CN03/00195

V: Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

## 1. Statement:

Novelty (N)

Claims 1-7

YES

Claims

NO

Inventive step (IS)

Claims 1-7

YES

Claims

NO

Industrial applicability (IA)

Claims 1-7

YES

Claims

NO

## 2. Citations and explanations (Rule 70.7)

The following documents cited in the search reports have been taken into consideration in this report:

D1 CN-A-1165209  
D2 CN-A-1334234  
D3 JP-A-10-203810  
D4 JP-A-2000141056

The subject matters of claims 1-7 are a control method of arranging carbon nanotubes selectively orientationally on a surface of a substrate. Because all of the above documents do not teach or fairly suggest the control method having same or similar characteristic, claims 1-7 are considered to be novel and inventive. They meet the criteria set out PCT Article 33(2) and 33(3). Because the subject matters of claims 1-7 can be made up or used, they meet the criteria set out PCT Article 33(4).